



PTO/SB/08a/b (07-05)
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Substitute for form 1449A/B/PTO		Complete if Known			
		Application Number	09/961131-Conf. #4504		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Filing Date	September 21, 2001		
		First Named Inventor	David J. Gourley		
		Art Unit	2162		
		Examiner Name	C. Y. T. Truong		
Sheet	1	of	3	Attorney Docket Number	0109878.00124US1

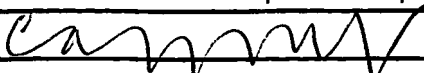
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Substitute for form 1449A/B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>			Complete if Known		
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Sheet	2	of	3	Attorney Docket Number	0109878.00124US1

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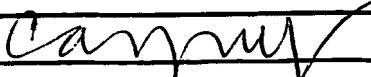
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Sheet	3	of	3
		Attorney Docket Number	0109878.00124US1

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	CP	Yahoo 1996 (Exhibit 12-16)	

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	1	0676705	EP		1995-10-11	US West Technologies, Inc.		<input type="checkbox"/>
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15	HAN et al., "Join Index Hierarchy: An Indexing Structure For Efficient Navigation In Object-Oriented Databases", IEEE Transactions on Knowledge and Data Engineering, Vol. 11, No. 2, pp. 321-337, March/April 1999	<input type="checkbox"/>
16	HEARST, M. et al., "Integrating Browsing & Search Relevance Feedback", SIMS 202, UC Berkeley, SIMS, Fall 1999, 2 pages	<input type="checkbox"/>
17	HEARST, M. "Chapter 10: User Interfaces and Visualization", Modern Information Retrieval, Yates and Ribeiro-Neto (1999) pp. 257-340	<input type="checkbox"/>
18	HEARST, M. et al., "Using MetaData in Search: Combining Browsing and Search", 39 slides, http://www2.sims.berkeley.edu/courses/is202/f98/Lecture27/sld001.htm	<input type="checkbox"/>
19	http://www.searchtools.com/tools/endeca.html , Search Tools Product Report, "Endeca Faceted Metadata Search and Browse", 2 pages, updated 10 July 2003	<input type="checkbox"/>
20	HUA et al., "Object Skeletons: An Efficient Navigation Structure for Object-Oriented Database Systems", IEEE, pp. 508-517 (1994)	<input type="checkbox"/>
21	International Searching Authority, International Search Report for PCT/03/31770, mailed June 29, 2004	<input type="checkbox"/>

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STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number	09961131
Filing Date	2001-09-21
First Named Inventor	Adam J. FERRARI
Art Unit	2162
Examiner Name	C. Y. T. Truong
Attorney Docket Number	0109878.00124US1

22	International Searching Authority, International Search Report for PCT/US2006/043538, mailed 3/26/07, 12 pages	<input type="checkbox"/>
23	KUMMAMURU et al., "A Hierarchical Monothetic Document Clustering Algorithm for Summarization and Browsing Search Results", WWW2004, pp. 658-665, May 17-22, 2004	<input type="checkbox"/>
24	MCENEANEY, John E., "Visualizing and Assessing Navigation in Hypertext", Hypertext 99, Darmstadt Germany, pp. 61-70 (1999)	<input type="checkbox"/>
25	MILLER, Renee J., "Using Schematically Heterogeneous Structures", Department of Computer and Information Science, Ohio State University, 1998, pp. 189-200	<input type="checkbox"/>
26	MILLS, J., "The Problem of arrangement in a Library", A Modern Outline of Library Classification", Chapman & Hall Ltd, pp. 1-8, 1960	<input type="checkbox"/>
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29	POLLITT et al., "MenUse for Medicine: End-User Browsing and Searching of MEDLINE via the MeSH Thesaurus", Int. Forum Inf. and Docum., pp. 547-573, 1988	<input type="checkbox"/>
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Attorney Docket Number	0109878.00124US1

33	POLLITT, A.S., "A rule-based system as an intermediary for searching cancer therapy literature on MEDLINE", Intelligent Information Systems: Progress and Prospects, pp. 82-126, 1986	<input type="checkbox"/>
34	POLLITT, A.S., "An Expert Systems Approach to Document Retrieval, A thesis submitted to the Council for National Academic Awards in partial fulfillment of the requirements for the degree Doctor of Philosophy", May 1986	<input type="checkbox"/>
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37	POLLITT, A.S., "Reducing complexity by rejecting the consultation model as a basis for the design of expert systems", Expert Systems, Vol. 3, No. 4, pp. 234-238, October 1986	<input type="checkbox"/>
38	POLLITT, A.S., "Taking a different view", British Library research, Library Technology, Vol. 1, Nov. 1, 1996	<input type="checkbox"/>
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40	POLLITT, Example from EMBASE entitled "Screen Shots from View-based searching with HIBROWSE", (1998)	<input type="checkbox"/>
41	POLLITT, excerpt from "Prospects for using Dewey Classification in a View-based Searching OPAC Dewey Decimel Classification: Possibilities in View-based Searching OPAC", (1998)	<input type="checkbox"/>
42	POLLITT, S., "CanSearch: An Expert Systems Approach to Document Retrieval", Information Processing & Management, Vol. 23, No. 2, pp. 119-138, (1987)	<input type="checkbox"/>
43	PRISS, U. et al., "Utilizing Faceted Structures for Information Systems Design", School of Library and Information Science, Indiana University Bloomington, pp. 1-12	<input type="checkbox"/>

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Attorney Docket Number	0109878.00124US1	

44	RAMASWAMI et al., "Navigating a Protection-Engineering Data Base", IEEE, pp. 27-32, April 1989	<input type="checkbox"/>
45	Screenshots from "View-based searching with HIBROWSE", http://www.jbi.hio.no/bibin/kurs/korg98/oslo2.ppt , 10 pages	<input type="checkbox"/>
46	TREGLOWN, M. et al., "HIBROWSE for Bibliographic Databases: A study of the application of usability techniques in view-based searching", British Library Research and Innovation Report 52, The University of Huddersfield, April 1997	<input type="checkbox"/>
47	TU et al., "Agent Technology for Website Browsing and Navigation", Proceedings of the 32nd Hawaii International Conference on Systems Sciences", IEEE , pp. 1-10, 1999	<input type="checkbox"/>
48	TURINE et al., "A Navigation-Oriented Hypertext Model Based on Statecharts", Hypertext 97, Southampton UK, 1997	<input type="checkbox"/>
49	VELEZ et al., "Fast and Effective Query Refinement", SIGIR 1997, pgs. 6-15	<input type="checkbox"/>
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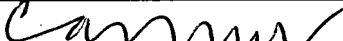
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Attorney Docket Number	0109878.00124US1

1	Weiland et al., "A graphical query interface based on aggregation/generalization hierarchies," Information systems, Vol. 18, No.4, pp. 215-232 (1993)	<input type="checkbox"/>
2	XIONG et al., "Taper: A Two-Step Approach for All-Strong-Pairs Correlation Query in Large Databases", IEEE Transactions on Knowledge and Data Engineering, Vol. 18, No. 4, April 2006, pgs. 493-508	<input type="checkbox"/>
3	YOO et al., "Towards A Relationship Navigation Analysis", Proceedings of the 32nd Hawaii International Conference on System Sciences", IEEE , pp.1-10, (2000)	<input type="checkbox"/>

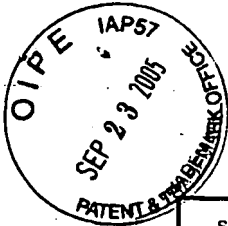
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Substitute for form 1449A/B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Complete if Known			
		Application Number	09/961131-Conf. #4504		
		Filing Date	September 21, 2001		
		First Named Inventor	Adam J. FERRARI		
		Art Unit	N/A 2162		
		Examiner Name	Not Yet Assigned Camy TUNG		
Sheet	1	of	1	Attorney Docket Number	0109878.00124US1

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
CS	AA*	US-6,763,349-B1	07-13-2004	Sacco	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
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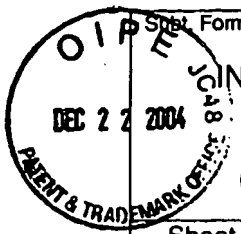
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NON PATENT LITERATURE DOCUMENTS			
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INFORMATION DISCLOSURE
IN AN APPLICATION

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Docket Number
109878.124Application Number
09/961,131Applicant
Ferrari, et al.Filing Date
September 21, 2001Group Art Unit
2179

Sheet 1 OF 1

U.S. Patent Documents

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
cy	6,360,227 B1	03/19/2002	Aggarwal et al.	707	102	01/29/1999
cy	6,571,282 B1	05/27/2003	Bowman-Amuah	709	219	08/31/1999

Foreign Patent Documents

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Other Documents (Including Author, Title, Date Pertinent Pages, Etc.)

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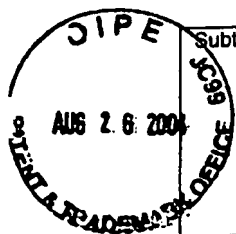
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2/18/08

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(Use several sheets if necessary)

Docket Number
109878.124Application Number
09/961,131Applicant
Ferrari, et al.Filing Date
September 21, 2001Group Art Unit
2773

Sheet 1 OF 1

U.S. Patent Documents

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
CJ	US2002/0083039	6/27/02	Ferrari, et al.	707	1	10/31/02
	US2002/0095405	7/18/02	Fujiwara	707	3	1/18/01
	6,226,745	5/1/01	Wiederhold	713	200	
	6,466,918	10/15/02	Spiegel, et al	705	27	
	6,266,649	7/24/01	Linden, et al.	705	26	

Foreign Patent Documents

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
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CJ	0 827 063 A1	3/4/98	EP				
	1 050 830 A2	11/8/00	EP				

Other Documents (Including Author, Title, Date Pertinent Pages, Etc.)

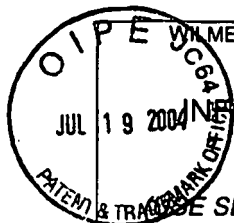
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SUBT. FORM PTO-1449

DOCKET NUMBER
109878.124

APPLICATION NUMBER
09/961,131

INFORMATION DISCLOSURE
IN AN APPLICATION

APPLICANT
Ferrari et al.

(SEE SEVERAL SHEETS IF NECESSARY)

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SHEET 1 OF 1

September 21, 2001

~~2179~~ 2162

U.S. Patent Documents

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cy	5,418,948	5/1995	Turtle	395	600	
	5,768,578	2/1995	Kirk et al.	395	611	
	6,167,397	12/2000	Jacobson et al.	707	5	
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Foreign Patent Documents

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Other Documents (Including Author, Title, Date Pertinent Pages, Etc.)

cy	A1	PriceSCAN.com, Your Unbiased Guide to the Lowest Price on Books, Computers, Electronic..., Copyright 1997-1999, < http://web.archive.org/web/19991117123352/http://www.pricescan.com/ >, pages 1-8

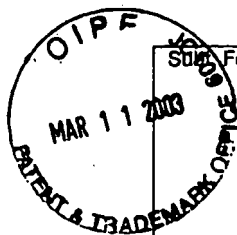
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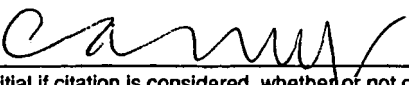
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INFORMATION DISCLOSURE IN AN APPLICATION (Use several sheets if necessary)				Applicant Ferrari, et al.	
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U.S. Patent Documents						
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cy	WO 01/67300	Sep. 13, 2001	PCT				

Other Documents (Including Author, Title, Date Pertinent Pages, Etc.)		
A1	Pollitt, et al. "View-Based Searching Systems – Progress Towards Effective Disintermediation" <i>Online Information Meeting Proceedings</i> , (1996) pp. 433-445	

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09/961,131Applicant
Ferrari, et al.

Filing Date

September 21, 2001

Group Art Unit

2772 216

Sheet 1 OF 1

U.S. Patent Documents

EXAMINER INITIAL	DOCUMENT NUMBER	PUB. DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
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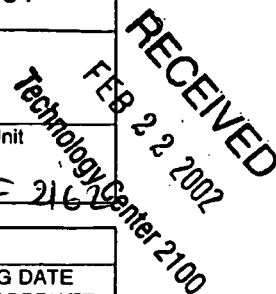
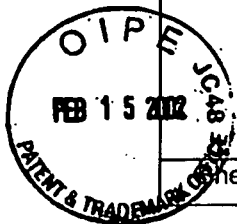
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INFORMATION DISCLOSURE IN AN APPLICATION <i>(Use several sheets if necessary)</i>				Applicant Ferrari, et al.			
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cy	5,715,444	Feb. 3, 1998	Danish, et al.	395	604	
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Foreign Patent Documents						
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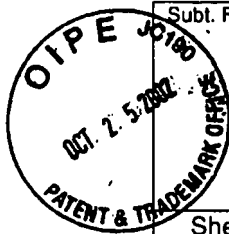
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Cej	A1	Hearst, M., et al. "Cat-a Cone: An Interactive Interface for Specifying Searches and Viewing Retrieval Results Using A Large Category Hierarchy" <i>Ann. Int. ACM-SIGIR Conf. On Res. And Dev. In Information Retrieval</i> , (1997) pp. 246-255
	A2	Pedersen, G. S., "A Browser For Bibliographic Information Retrieval Based On An Application Of Lattice Theory" <i>Proc. Of the Ann. Int. SCM SIGIR Conference on Res. And Dev. In Information Retrieval</i> , (1993), pp. 270-279
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	A4	Allen, R. B., "Two Digital Library Interfaces That Exploit Hierarchical Structure" <i>Electronic Publishing</i> (1995) 8 pages
	A5	Allen, R. B., "Retrieval From Facet Spaces" <i>Electronic Publishing</i> (1995), Vol. 8(2&3), pp. 247-257
	A6	Agosti, m., et al. "Issues of Data Modelling in Information Retrieval" <i>Electronic Publishing</i> , (1991), Vol. 4(4) pp. 219-237

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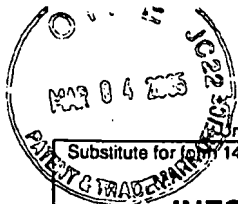
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EXAMINER INITIAL	DOCUMENT NUMBER	PUB/PAT DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
cy	US2002/0091696	7/11/02	Craft, et al.	707	10	1/4/99
	6,094,650	7/25/00	Stoffel, et al.	707	3	
	5,983,220	11/9/99	Schmitt	707	5	

Foreign Patent Documents							
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

Other Documents (Including Author, Title, Date Pertinent Pages, Etc.)		
cy	A1	Pollitt, et al. "HIBROWSE For Bibliographic Databases" <i>Journal of Information Science</i> , (1994), Vol. 20 (6), pp. 413-426
cy	A2	Baeza-Yates, et al., "New Approaches to Information Management: Attribute-Centric Data Systems" <i>Proceedings Seventh International Symposium on String Processing and Information Retrieval</i> , (2000), pp. 17-27

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Complete if Known

Application Number	09/961,131
Filing Date	September 21, 2001
First Named Inventor	Ferrari, et al.
Art Unit	2179 2197 2162
Examiner Name	CHUONG, Truc T. - Camy Tuong
Attorney Docket Number	109878.124

Sheet	1	of	1
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U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
cy		4,879,648	11/7/1989	Cochran, et al.	
		5,206,949	4/27/1993	Cochran, et al.	
		5,768,581	6/16/1998	Cochran	
		6,345,273	2/5/2002	Cochran	
		6,453,315	9/17/2002	Weissman, et al.	
		US 2004/0117366 A1	6/17/2004	Ferrari, et al.	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
cy		EP 0 597 630 A1	5/18/1994	Conquest Software, Inc.	
		WO 03/027902 A1	4/3/2003	Endeca Technologies, Inc.	

Examiner Signature	<i>Camy</i>	Date Considered	2/18/08
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